Performance Management Confirmation
Preliminary Application Evaluation

Purpose

This tool is designed to be use by Department of Personnel (DOP) staff to evaluate an applying agency's or institution's preliminary application for performance management confirmation (PMC). Prior to developing the full application, the applying organization is expected to submit a preliminary application. The purpose of the preliminary application is to verify that the organization already has the necessary foundation to build a performance incentive program.

Instructions

The tool is identical to a preliminary readiness self-assessment tool used by the organization in developing their preliminary application. Use these standardized questions and rating scale to assess the organization's readiness to move forward. In most cases, the evaluator should feel comfortable giving a '3' (Solidly Completed) rating in each area.

Rating Scale

1	2	3	4	5
Nothing Started	Started, but not completed	Solidly Completed	Above Standard	Innovative

Questions	Rating	Strengths, Weaknesses, Next Steps
Executive Commitment		
How has your leadership demonstrated its commitment to a performance-based culture and receiving performance management confirmation? 1. Organization demonstrates a historic culture of performance.		
2. Chief executive has communicated his/her commitment to both a performance management culture and performance management confirmation to employees.		
3. Senior leadership has been actively involved in the development of the agency's current performance management system and preparing for confirmation.		
4. Organization has formed a confirmation team composed of a cross-section of the agency.		
5. Senior leadership has given the team adequate resources, training, tools, and time to complete the project.		

HR
WSD **Personnel**

Questions	Rating	Strengths, Weaknesses, Next Steps
Readiness Assessment		
Organizational Performance Planning How has your leadership promoted and supported organizational performance planning and results? 6. Organization's vision, mission, and values are clearly stated and communicated to all employees.		
7. Organization has a strategic plan with business goals, objectives, and strategies in place.		
8. Organization has performance measures in place for each business line.		
9. Organization has a process for monitoring and reporting performance on: ❑ Strategic plan and business plan goals. ❑ Organizational performance levels.		
10. Organization integrates the performance management system throughout the organization through activities such as GMAP, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits).		
Recognition or Reward Systems What is your organization's experience implementing formal recognition or reward programs? How are they aligned with your business goals and measures? 11. Organization demonstrates formally recognizing excellent performance.		
Roles & Responsibilities		
How do your current assigned roles and responsibilities support your existing employee performance management program? 12. Organization has roles and responsibilities currently assigned for: ❑ Executive Management ❑ Human Resources ❑ Supervisors ❑ Employees		
13. Each person with an assigned role is aware of the standards and expectations of their assigned roles.		

Questions	Rating	Strengths, Weaknesses, Next Steps
Management Accountability		
How are your managers and supervisors currently held accountable for consistent, equitable, and transparent administration of your existing performance management program?		
14. Consequences are clear for failure to meet standards and expectations for management roles.		
15. Managers and supervisors clearly understand the consequences for failure to meet performance management responsibilities.		
16. Administrative processes are in place for tracking manager and supervisor compliance with performance management standards and practices.		
Policies and Procedures		
How do your current policies and procedures support your existing performance management program?		
17. Salary Determination policy (SDP): ❑ Describes the organization's general pay philosophy. ❑ Describes roles and responsibilities of various staff relative to compensation practices and processes. ❑ Describes how base salary and other elements of compensation are determined.		
18. Employee performance management policy (EPM): ❑ Describes our executive commitment to EPM. ❑ Describes the linkage between EPM, organizational performance management, and accomplishment of organizational goals. ❑ Describes the principles and purpose of the EPM system. ❑ Describes roles and responsibilities of various staff relative to EPM.		
Communication Strategy & Plan		
What are the significant communication risks that you will need to address moving forward.	**Not Rated**	
What are your contingency plans for eliminating misunderstandings and destructive myths.	**Not Rated**	

Questions	Rating	Strengths, Weaknesses, Next Steps
Training & Orientation		
How does your training and development strategy support your performance management culture? 19. Organization has demonstrated executive commitment to staff training, including: ❑ Financial resources. ❑ Release time.		
20. Organization has established training requirements for: ❑ Senior leaders and managers. ❑ Supervisors. ❑ Employees. ❑ New supervisors. ❑ New employees.		
21. Organization has core training requirements for all employees that include: ❑ Ethics. ❑ Diversity. ❑ Sexual Harassment Prevention.		
22. Organization has core training requirements for managers and supervisors that include: ❑ Supervisor's essentials or equivalent ❑ Performance Planning & Development		
23. Organization has a monitoring and reporting system that: ❑ Comprehensively tracks all permanent employees. ❑ Audits PDPs for improvement ❑ Reports compliance to executive management.		
24. Organization has 90% compliance with required training.		
PDP Implementation		
How does your current performance planning and evaluation (PDP) process support your existing performance management program? 25. Organization has used the PDP to plan and appraise performance for one or more performance cycles.		
26. Organization has established timeframes and deadlines for completing the PDP.		

Questions	Rating	Strengths, Weaknesses, Next Steps
27. Organization requires use of periodic interim reviews, including at least one mid-term evaluation during the review period.		
28. Organization has a monitoring and reporting system that: ❑ Comprehensively tracks all permanent employees. ❑ Reports compliance to executive management.		
29. Organization reviews PDPs for quality and improvement.		
30. Organization has at least 90% completion/compliance rate for: ❑ Performance and Development plans. ❑ Individual development plans. ❑ Performance evaluations. ❑ Current position descriptions. (PDFs) ❑ Supervisor expectations for workforce management.		

Performance Incentive Program

Use these standardized questions and rating scale to assess the strength of your employee performance management program relative to developing a performance incentive program.

Questions	Strengths, Weaknesses, Next Steps
Performance Incentive Program	
Organization has discussed the desired outcomes we expect to achieve by developing an incentive program.	
Organization has discussed what parts of your organization and which employees will be impacted by this program.	
Organization has discussed what performance based practices we are proposing for our performance incentive program such as: • Dollar amounts or salary percentages for lump sum, goal sharing, and gain sharing programs.. • Leave amounts for lump sum, goal sharing, and gain sharing programs. • Percentages and/or timeframes for accelerated/decelerated progression pay programs. • Benefits and/or penalties for layoff programs. • Award levels (if using an award program with multiple levels).	